

# IT ASSET MANAGEMENT

## Approach, Architecture, and Security Characteristics

For CIOs, CISOs, and Security Managers

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NIST SPECIAL PUBLICATION 1800-5b

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# IT ASSET MANAGEMENT

## Financial Services

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October 2015

U.S. Department of Commerce

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National Institute of Standards and Technology Special Publication 1800-5b  
Natl Inst. Stand. Technol. Spec. Publ. 1800-5b, 49 pages (October 2015)  
CODEN: NSPUE2

Organizations are encouraged to review all draft publications during public comment periods and provide feedback. All publications from NIST's National Cybersecurity Center of Excellence are available at <http://nccoe.nist.gov>.

Comments on this publication may be submitted to: [financial\\_nccoe@nist.gov](mailto:financial_nccoe@nist.gov)

Public comment period: October 26, 2015 through January 8, 2016

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## NATIONAL CYBERSECURITY CENTER OF EXCELLENCE

The National Cybersecurity Center of Excellence (NCCoE) at the National Institute of Standards and Technology (NIST) addresses businesses' most pressing cybersecurity problems with practical, standards-based solutions using commercially available technologies. The NCCoE collaborates with industry, academic, and government experts to build modular, open, end-to-end reference designs that are broadly applicable and repeatable. The center's work results in publicly available NIST Cybersecurity Practice Guides, Special Publication Series 1800, that provide users with the materials lists, configuration files, and other information they need to adopt a similar approach.

To learn more about the NCCoE, visit <http://nccoe.nist.gov>. To learn more about NIST, visit <http://www.nist.gov>.

## NIST CYBERSECURITY PRACTICE GUIDES

NIST Cybersecurity Practice Guides (Special Publication Series 1800) target specific cybersecurity challenges in the public and private sectors. They are practical, user-friendly guides that facilitate the adoption of standards-based approaches to cybersecurity. They show members of the information security community how to implement example solutions that help them align more easily with relevant standards and best practices.

The documents in this series describe example implementations of cybersecurity practices that businesses and other organizations may voluntarily adopt. The documents in this series do not describe regulations or mandatory practices, nor do they carry statutory authority.

## ABSTRACT

While a physical asset management system can tell you the location of a computer, it cannot answer questions like, "What operating systems are our laptops running?" and "Which devices are vulnerable to the latest threat?" An effective IT asset management (ITAM) solution can tie together physical and virtual assets and provide management with a complete picture of what, where, and how assets are being used. ITAM enhances visibility for security analysts, which leads to better asset utilization and security.

This NIST Cybersecurity Practice Guide provides a reference build of an ITAM solution. The build contains descriptions of the architecture, all products used in the build and their individual configurations. Additionally, this guide provides a mapping of each product to multiple relevant security standards. While the reference solution was demonstrated with a certain suite of products, the guide does not endorse these products in particular. Instead, it presents the characteristics and capabilities that an organization's security experts can use to identify similar standards-based products that can be integrated quickly and cost-effectively with a financial service company's existing tools and infrastructure.

## KEYWORDS

cybersecurity; physical security; personnel security; operational security; financial sector; asset management; information technology asset management (ITAM); information technology

## ACKNOWLEDGMENTS

We gratefully acknowledge the contributions of the following individuals and organizations for their generous contributions of expertise, time, and products.

Name	Organization
FS-ISAC	Financial Services Information Sharing and Analysis Center
Gorrell Cheek	Western Union
Joe Buselmeier	American Express
Sean Franklin	American Express
Ron Ritchey	Bank of America
Sounil Yu	Bank of America
Joel Van Dyk	Depository Trust & Clearing Corporation
Dan Schutzer	Financial Services Roundtable
George Mattingly	Navy Federal Credit Union
Jimmie Owens	Navy Federal Credit Union
Mike Curry	State Street
Timothy Shea	RSA
Mark McGovern	MobileSystem7
Atul Shah	Microsoft
Leah Kauffman	NIST
Benham (Ben) Shariati	University of Maryland Baltimore County
Susan Symington	MITRE Corporation
Sallie Edwards	MITRE Corporation
Sarah Weeks	MITRE Corporation
Lina Scorza	MITRE Corporation
Karen Scarfone	Scarfone Cybersecurity

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# 1 Summary

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8

9 Companies in the financial services sector can use this NIST Cybersecurity Practice Guide to  
10 more securely and efficiently monitor and manage their organization's many information  
11 technology (IT) assets. IT asset management (ITAM) is foundational to an effective  
12 cybersecurity strategy and is featured prominently in the SANS Critical Security Controls<sup>1</sup> and  
13 NIST Framework for Improving Critical Infrastructure Cybersecurity.<sup>2</sup>

14 During the project development, we focused on a modular architecture that would allow  
15 organizations to adopt some or all of the example capabilities in this practice guide. Depending  
16 on factors like size, sophistication, risk tolerance, and threat landscape organizations should  
17 make their own determinations about the breadth of IT asset management capabilities they  
18 need to implement.

19 This example solution is packaged as a “How To” guide that demonstrates how to implement  
20 standards-based cybersecurity technologies in the real world, based on risk analysis. We used  
21 open-source and commercial off-the-shelf (COTS) products that are currently available for  
22 acquisition. The guide helps organizations gain efficiencies in IT asset management, while  
23 saving them research and proof of concept costs.

24 This guide aids those responsible for tracking assets, configuration management, and  
25 cybersecurity in a financial services sector enterprise. Typically, this group will comprise those  
26 who possess procurement, implementation, and policy authority.

## 27 1.1 The Challenge

28 The security engineers we consulted in the financial services sector told us they are challenged  
29 by identifying assets across the enterprise and keeping track of their status and configurations,  
30 including hardware and software. This comprises two large technical issues:

- 31 1. tracking a diverse set of hardware and software. Examples of hardware include servers,  
32 workstations, and network devices. Examples of software include operating systems,  
33 applications, and files.
- 34 2. lack of total control by the host organization. Financial services sector organizations can  
35 include subsidiaries, branches, third-party partners, contractors, temporary workers, and  
36 guests. It is impossible to regulate and mandate a single hardware and software baseline  
37 against such a diverse group.

## 38 1.2 The Solution

39 An effective ITAM solution needs several characteristics, including:

- 40 ■ interface with multiple existing systems
- 41 ■ complement existing asset management, security, and network systems

---

1.SANS Top 20 Critical Security Controls V5. <https://www.sans.org/critical-security-controls/>

2.NIST Framework for Improving Critical Infrastructure Cybersecurity, V1.0. <http://www.nist.gov/cyberframework/>



- 42 ■ provide application programming interfaces for communicating with other security devices  
43 and systems such as firewalls and intrusion detection and identity and access management  
44 systems
- 45 ■ know and control which assets, both virtual and physical, are connected to the enterprise  
46 network
- 47 ■ provide fine-grain asset accountability supporting the idea of data as an asset
- 48 ■ automatically detect and alert when unauthorized devices attempt to access the network,  
49 also known as asset discovery
- 50 ■ enable administrators to define and control the hardware and software that can be  
51 connected to the corporate environment
- 52 ■ enforce software restriction policies relating to what software is allowed to run in the  
53 corporate environment
- 54 ■ record and track the prescribed attributes of assets
- 55 ■ audit and monitor changes in an asset's state and connection
- 56 ■ integrate with log analysis tools to collect and store audited information

57 The ITAM solution developed and built at the NCCoE, and described in this document, meets all  
58 of the characteristics.

### 59 1.3 Risks

60 In addition to being effective, the ITAM solution must also be secure and not introduce new  
61 vulnerabilities into an organization. To reduce this risk, the NCCoE used security controls and  
62 best practices from NIST<sup>1</sup>, the Defense Information Systems Agency (DISA)<sup>2</sup> and International  
63 Organization for Standardization (ISO)<sup>3</sup>, the Control Objectives for Information and Related  
64 Technology (COBIT) framework<sup>4</sup>, and Payment Card Industry Data Security Standards (PCI  
65 DSS)<sup>5</sup>. How these individual controls are met by individual components of this solution can be  
66 seen in [table 4.2](#).

67 Some of the security controls we implemented include:

- 68 ■ access control policy
- 69 ■ continuous monitoring
- 70 ■ boundary protection
- 71 ■ event auditing

---

1.NIST 800-53 V4. Security and Privacy Controls for Federal Information Systems and Organizations

2.DISIA Secure Technical Implementation Guides. <http://iase.disa.mil/stigs/Pages/index.aspx>

3.ISO/IEC 27002:2013. Information Technology - Security techniques - Code of practice for information security controls. [http://www.iso.org/iso/catalogue\\_detail?csnumber=54533](http://www.iso.org/iso/catalogue_detail?csnumber=54533)

4.COBIT V5. ISACA. <http://www.isaca.org/cobit/pages/default.aspx>

5.Payment Card Industry Data Security Standard V3.1. [https://www.pcisecuritystandards.org/security\\_standards/documents.php?document=pci\\_dss\\_v3-1#pci\\_dss\\_v3-1](https://www.pcisecuritystandards.org/security_standards/documents.php?document=pci_dss_v3-1#pci_dss_v3-1)

- 72 ■ incident detection and reporting
- 73 ■ device authentication
- 74 ■ user authentication
- 75 ■ data encryption
- 76 ■ vulnerability scanning
- 77 ■ track and monitor all resources

78 By implementing an ITAM solution based on controls and best practices, implementers can  
79 tailor their deployment to their organization's security risk assessment, risk tolerance, and  
80 budget.

## 81 1.4 Benefits

82 The build described here employs passive and active sensors across an enterprise to gather  
83 asset information and send it to a centralized location. The sensors specialize in gathering  
84 information from different devices, no matter their operating system. Machines used by direct  
85 employees receive software agents that report on configuration, while temporary employees  
86 and contractors receive “dissolvable” agents and more passive sensing. Dissolvable agents are  
87 automatically downloaded to the client, run, and are removed. All of this information is  
88 gathered at a central location for analysis and reporting. You can choose to view all the activity  
89 in an enterprise, or configure the system to choose which machines are monitored, how much  
90 data is collected, and how long the data is retained.

91 The example solution described in this guide has the following benefits:

- 92 ■ enables faster responses to security alerts by revealing the location, configuration, and  
93 owner of a device
- 94 ■ increases cybersecurity resilience: you can focus attention on the most valuable assets
- 95 ■ provides detailed system information to auditors
- 96 ■ determines how many software licenses are actually used in relation to how many paid for
- 97 ■ reduces help desk response times: staff already know what is installed and the latest  
98 pertinent errors and alerts
- 99 ■ reduces the attack surface of machine by ensuring that software is correctly patched

100 Other potential benefits include, but are not limited to: rapid provisioning and de-provisioning  
101 using consistent, efficient, and automated processes; improved situational awareness; and an  
102 improved security posture gained from tracking and auditing access requests and other ITAM  
103 activity across all networks.

104 This NIST Cybersecurity Practice Guide:

- 105 ■ maps security characteristics to guidance and best practices from NIST and other standards
- 106 organizations including the Payment Card Industry Data Security Standard
- 107 ■ provides
  - 108 ● a detailed example solution with capabilities that address security controls
  - 109 ● instructions for implementers and security engineers, including examples of all the
  - 110 necessary components and installation, configuration, and integration
- 111 ■ is modular and uses products that are readily available and interoperable with your existing
- 112 IT infrastructure and investments

113 Your organization can be confident that these results can be replicated: We performed

114 functional testing and submitted the entire build to replication testing. An independent second

115 team recreated the build based on the information in this practice guide.

116 While we have used a suite of open source and commercial products to address this challenge,

117 this guide does not endorse these particular products, nor does it guarantee regulatory

118 compliance. Your organization's information security experts should identify the standards-

119 based products that will best integrate with your existing tools and IT system infrastructure.

120 Your company can adopt this solution or one that adheres to these guidelines in whole, or you

121 can use this guide as a starting point for tailoring and implementing parts of a solution.

## 122 1.5 Technology Partners

123 The technology vendors who participated in this build submitted their capabilities in response

124 to a notice in the Federal Register. Companies with relevant products were invited to sign a

125 Cooperative Research and Development Agreement (CRADA) with NIST, allowing them to

126 participate in a consortium to build this example solution. We worked with:

- 127 ■ AlphaPoint Technology
- 128 ■ Belarc
- 129 ■ CA Technologies
- 130 ■ Process Improvement Achievers
- 131 ■ Peniel Solutions
- 132 ■ PuppetLabs
- 133 ■ RedJack
- 134 ■ Splunk
- 135 ■ Tyco
- 136 ■ Vanguard Integrity Professionals

## 137 1.6 Feedback

138 You can improve this guide by contributing feedback. As you review and adopt this solution for  
139 your own organization, we ask you and your colleagues to share your experience and advice  
140 with us.

- 141 ■ email [financial\\_nccoe@nist.gov](mailto:financial_nccoe@nist.gov)
- 142 ■ participate in our forums at <https://nccoe.nist.gov/forums/financial-services>

143 Or learn more by arranging a demonstration of this example solution by contacting us at  
144 [financial\\_nccoe@nist.gov](mailto:financial_nccoe@nist.gov)

145

# 2 How to Use This Guide

This NIST Cybersecurity Practice Guide demonstrates a standards-based reference design and provides users with the information they need to replicate this approach to ITAM. The reference design is modular and can be deployed in whole or in part. The How-To section of the guide can be used to adopt and replicate all or parts of the build created in the NCCoE ITAM Lab. The guide details the selection and use of commercial, off-the-shelf products, their integration, and the overall development of the solution they provide

This guide contains three volumes:

- *NIST SP 1800-5a: Executive Summary*
- *NIST SP 1800-5b: Approach, Architecture, and Security Characteristics* – what we built and why (this document)
- *NIST SP 1800-5c: How-To Guides* – instructions for building the example solution

Depending on your role in your organization, you might use this guide in different ways:

**Financial services sector leaders, including chief security and technology officers** will be interested in the *Executive Summary (NIST SP 1800-5a)*, which describes the:

- challenges financial services sector organizations face in implementing and using ITAM systems
- example solution built at the NCCoE
- benefits of adopting a secure, centralized ITAM system, and the risks of a lack of visibility into networked IT assets

Technology or security program managers who are concerned with how to identify, understand, assess, and mitigate risk will be interested in this part of the guide, *NIST SP 1800-5b*, which describes what we did and why. The following sections will be of particular interest:

- [Section 4.5, Risk Management](#)
- [Section 4.7](#), where we map the security characteristics of this example solution to cybersecurity standards and best practices
- [Section 4.8](#), where we identify the products and technologies we used and map them to the relevant security controls

**Information technology (IT) professionals who want to implement an approach like this** will find the whole document useful. Volume C of this publication is a series of how-to guides covering all the products that we employed in this reference design. We do not recreate the product manufacturer’s documentation, which we presume is widely available. Rather, these guides show how we incorporated the products together in our environment to create an example solution.

This guide assumes that IT professionals have experience implementing security products in financial services sector organizations. While we have used the commercially available products listed herein, we assume that you have the knowledge and expertise to choose other products that might better fit your organization<sup>1</sup>. If you use other products, we hope you will seek those

39 that are congruent with standards and best practices or applicable security standards.  
40 [Section 4.7](#) lists the products we used mapped to the cybersecurity controls provided by this  
41 reference design to help you understand the characteristics you should seek in alternate  
42 products.

43 A NIST Cybersecurity Practice Guide does not describe *the* solution, but a possible solution. This  
44 is a draft guide. We seek feedback on its contents and welcome your input. Comments,  
45 suggestions, and success stories will improve subsequent versions of this guide. Please  
46 contribute your thoughts to [financial\\_nccoe@nist.gov](mailto:financial_nccoe@nist.gov), and join the discussion at [http://](http://nccoe.nist.gov/forums/financial-services)  
47 [nccoe.nist.gov/forums/financial-services](http://nccoe.nist.gov/forums/financial-services).

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1. Certain commercial entities, equipment, or materials may be identified in this document in order to describe an experimental procedure or concept. Such identification is not intended to imply recommendation or endorsement by NIST or the NCCoE, nor is it intended to imply that the entities, materials, or equipment are necessarily the best available for the purpose.

# 3 Introduction

In order for financial services sector institutions to make informed, business-driven decisions regarding their assets, they must first know what assets they possess, and their status. This information provides the visibility into license utilization, software support costs, unauthorized devices, vulnerabilities, and compliance. IT assets include items such as servers, desktops, laptops, and network appliances. Technology and policy constraints make it difficult to collect and analyze IT asset data in a large enterprise comprised of multiple organizations (subsidiaries and partners) spread out over diverse geographic locations.

While many financial services sector companies label physical assets with bar codes and track them with a database, this approach does not answer questions such as, “What operating systems are our laptops running?” and “Which devices are vulnerable to the latest threat?” The goal of this project is to quickly provide answers to questions like these by connecting existing systems for physical assets, physical security, IT systems, and network security into a comprehensive ITAM system. Another key consideration is the need for companies to demonstrate compliance with industry standards.

In our lab at the NCCoE, we constructed an ITAM solution that spans traditional physical asset tracking, IT asset information, physical security, and vulnerability and compliance information. Users can now query one ITAM system and gain insight into all four of these types of information regarding their entire IT asset portfolio.

Financial sector companies can employ this ITAM system to dynamically apply business and security rules to better utilize information assets and protect enterprise systems and data. In short, the ITAM system described in this practice guide gives companies the ability to monitor and report on an IT asset throughout its entire life cycle, thereby reducing the total cost of ownership by reducing the number of man-hours needed to perform tasks such as incident response and system patching.

# 4 Approach

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10



## 11 4.1 Audience

12 This guide is intended for individuals responsible for implementing IT security solutions in  
13 financial services organizations. Current decentralized systems often require connecting to  
14 multiple systems (assuming you have access), performing multiple queries, and then  
15 assembling a report. This centralized ITAM system provides automatic data aggregation,  
16 analysis of data, and metadata analysis with automated reporting and alerting. The technical  
17 components will appeal to system administrators, IT managers, IT security managers, and  
18 others directly involved in the secure and safe operation of the business, operational, and IT  
19 networks.

## 20 4.2 Scope

21 The scope of this guide encompasses the implementation of numerous products to centralize IT  
22 asset management. The scope concentrates on centralizing the following capabilities:

- 23 1. receiving a new physical IT asset
- 24 2. transferring a physical IT asset
- 25 3. migrating a virtual machine
- 26 4. detecting, responding and preventing incidents

27 The objective is to perform all of the above actions using a centralized system with interfaces  
28 designed for each task.

## 29 4.3 Assumptions

30 This project is guided by the following assumptions:

### 31 Security

32 This ITAM system provides numerous security benefits including increased visibility and faster  
33 remediation. We think that the benefits of using this ITAM system outweigh any additional risks  
34 that may be introduced. The security of existing systems and networks is out of scope for this  
35 project. A key assumption is that all potential adopters of the build or any of its components  
36 already have in place some degree of system and network security. Therefore, we focused on  
37 what potential new vulnerabilities were being introduced to end users if they implement this  
38 solution. The goal of this solution is to not introduce additional vulnerabilities into existing  
39 systems, but there is always inherent risk when adding systems and adding new features into an  
40 existing system.

### 41 Modularity

42 This assumption is based on one of the NCCoE core operating tenets. It is reasonably assumed  
43 that financial services sector companies already have some ITAM solution(s) in place. Our  
44 philosophy is that a combination of certain components or a single component can improve  
45 ITAM functions for an organization; they need not remove or replace existing infrastructure.  
46 This guide provides a complete top-to-bottom solution and is also intended to provide various  
47 options based on need.



#### 84 **Mobile Devices**

85 Due to scoping constraints, mobile devices were not included in the ITAM project. The NCCoE  
86 has several other projects dealing with mobile device security and management that can be  
87 used in conjunction with this ITAM project.

#### 88 **Network Devices**

89 The ITAM lab is almost totally comprised of virtual machines. Some of the virtual machines are  
90 performing the duties of network devices, such as routers, firewalls, and switches. Where  
91 possible, the configurations and data collected by these devices are used by the ITAM system.

#### 92 **Limited Replication of Enterprise Network**

93 The NCCoE was able to replicate the physical asset, physical security, IT systems, and network  
94 security silos in a limited manner. The goal was to demonstrate both logically and physically  
95 that functions could be performed from a centralized ITAM system regardless of where it is  
96 located in the enterprise. In a real-world environment, the interconnections between the silos  
97 are fully dependent on the business needs and compliance requirements of the individual  
98 enterprise. We did not attempt to replicate these interconnections. Rather, we acknowledge  
99 that implementing the project build or its components would create new interfaces across silos.  
100 We focused on providing general information on how to remain within the bounds of  
101 compliance should the build be adopted.

## 102 **4.5 Risk Management**

103 In order to effectively enforce and audit security policy, an organization must first know what  
104 equipment and software is present. For example, knowing what hardware and software is  
105 present is the first step to enabling application whitelisting or blacklisting, and network access  
106 controls. The ability to view the status and configuration of everything in an organization from  
107 one centralized location is a very powerful tool that could result in disaster if it were to fall into  
108 the wrong hands. Therefore, the ITAM system must be extremely well protected and  
109 monitored. In response, we implemented access controls, network access restrictions, network  
110 monitoring, secure data transmission, configuration management, and user activity  
111 monitoring. [Section 4.7](#) provides a security evaluation of the architecture and a list of the  
112 security characteristics.

## 113 **4.6 Security Implementation**

114 This implementation supports the project requirements with network security (firewalls,  
115 segmentation and monitoring), encryption, securely configured operating systems, access  
116 control, and least privilege access. More detailed information on these, and other, security  
117 controls can be found in the NIST 800-53<sup>1</sup>.

118 The network security includes segmenting the enterprise network into six networks: ITAM, IT  
119 systems, physical security, physical asset management, network security, and the demilitarized

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1. NIST 800-53 V4. Security and Privacy Controls for Federal Information Systems and Organizations. <http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf>

120 zone (DMZ). Firewalls are used to limit access among networks to those systems or Internet Protocol (IP) addresses and port  
121 combinations where communications are required. For example, the central ITAM system that interacts with the various sensors within  
122 the other networks requires communications capability on specific ports to specific servers/IP addresses. Therefore, firewall rules are  
123 implemented to limit connections among these systems to very specific connections with unidirectional rules for connection  
124 establishment. This approach ensures that only planned connection attempts are allowed. Firewalls are also used to limit Internet access  
125 to only the systems requiring outgoing Internet connections, and only for the required ports. A full list of the security technologies use  
126 can be found in [table 4.2](#).

## 127 4.7 Security Characteristics and Controls Mapping

128 [Table 4.1](#) maps the project's security characteristics to relevant security controls, which, in turn, are mapped to the NIST Framework for  
129 Improving Critical Infrastructure Cybersecurity, relevant NIST standards, industry standards, and best practices in, directly below. The  
130 mapping in [Table 4.1](#) comes from the white paper we drafted when we initially defined this challenge<sup>1</sup>.

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1.IT Asset Management: Securing Assets for the Financial Services Sector V.2. [https://nccoe.nist.gov/sites/default/files/NCCoE\\_FS\\_Use\\_-\\_Case\\_ITAM\\_FinalDraft\\_20140501.pdf](https://nccoe.nist.gov/sites/default/files/NCCoE_FS_Use_-_Case_ITAM_FinalDraft_20140501.pdf)

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
be capable of interfacing with multiple existing systems	Identify	Asset Management Risk Assessment	ID.AM-4: External information systems are cataloged ID.RA-2: Threat and vulnerability information is received from information sharing forums and sources AC-1 Access Control Policy and Procedures	AC-2 Account Management AC-3 Access Enforcement AC-20 Use of External Information System	10.8: Exchange of Information			
complement existing asset management, security and network systems	Identify Protect	Business Environment Access Control	ID.BE-4 Dependencies and critical functions for delivery of critical services are established PR.AC-5: Network integrity is protected, incorporating network segregation where appropriate	AC-20 Use of External Information System	10.8: Exchange of Information 11.6: Application and Information Access Control	15 - Account Access Based on Need to Know 16 - Account Monitoring and Control	APO03: Manage Enterprise Architecture	

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
provide APIs for communicating with other security devices and systems such as firewalls and intrusion detection and identity and access management (IDAM) systems	Detect	Anomalies and Events Detection Processes	DE.AE-3: Event data are aggregated and correlated from multiple sources and sensors  DE.DP-4: Event detection information is communicated to appropriate parties		10.8: Exchange of Information			

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
know and control which assets, both virtual and physical, are connected to the enterprise network	Identify Detect	Asset Management Security Continuous Monitoring	ID.AM-1: Physical devices and systems within the organization are inventoried ID.AM-2: Software platforms and applications within the organization are inventoried ID.AM-5: Resources are prioritized based on their classification, criticality and business value DE.CM-7: Monitoring for unauthorized personnel, connections, devices and software is performed	CA-7 Continuous Monitoring CM-3 Configuration Change Control IA-3 Device Identification and Authentication IA-4 Identifier Management SC-7 Boundary Protection SC-30 Virtualization Techniques SC-32 Information System Partitioning	7.1: Responsibility for Assets 7.2: Information Classification	1 - Inventory of Authorized and Unauthorized Devices 4 - Continuous Vulnerability Assessment and Remediation 13 - Boundary Defense 19 - Secure Network Engineering	BAI09: Manage Assets	10: Track and monitor all access to network resources and cardholder data

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
detect and alert when unauthorized devices attempt to access the network	Detect Protect	Anomalies and Events Security Continuous Monitoring Protective Technology	DE.AE-3: Event data are aggregated and correlated from multiple sources and sensors DE.CM-7: Monitoring for unauthorized personnel, connections, devices and software is performed PR.PT-1: Audit/ log records are determined, documented, implemented and reviewed in accordance with policy	AU-2 Auditable Events AU-3 Content of Audit Records CA-7 Continuous Monitoring IA-3 Device Identification and Authentication IA-4 Identifier Management IR-5 Incident Monitoring IR-6 Incident Reporting	10.6: Network Security Management 11.4: Network Access Control	1 - Inventory of Authorized and Unauthorized Devices 4 - Continuous Vulnerability Assessment and Remediation 13 - Boundary Defense 19 - Secure Network Engineering	DSS02: Manage Service Requests and Incidents	10: Track and monitor all access to network resources and cardholder data



**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
integrate with ways to validate a trusted network connection	Identify Protect Detect Respond	Asset Management Access Control Security Continuous Monitoring Protective Technology Communications	ID.AM-1: Physical devices and systems within the organization are inventoried  ID.AM-2: Software platforms and applications within the organization are inventoried  ID.AM-5: Resources are prioritized based on their classification, criticality and business value  PR.PT-1: Audit/ log records are determined, documented, implemented, and reviewed in accordance with policy	AU-2 Auditable Events CA-7 Continuous Monitoring IA-3 Device Identification and Authentication IR-5 Incident Monitoring IR-6 Incident Reporting PE-4 Access Control for Transmission Medium	11.4: Network Access Control	4 - Continuous Vulnerability Assessment and Remediation		10: Track and monitor all access to network resources and cardholder data

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
			<p>DE.CM-7: Monitoring for unauthorized personnel, connections, devices and software is performed</p> <p>RS.CO-2: Events are reported consistent with established criteria</p>					

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
enable administrators to define and control the hardware and software that can be connected to the corporate environment	Identify Detect	Asset Management Security Continuous Monitoring	ID.AM-1: Physical devices and systems within the organization are inventoried ID.AM-2: Software platforms and applications within the organization are inventoried DE.CM-7: Monitoring for unauthorized personnel, connections, devices and software is performed	IA-3 Device Identification and Authentication IA-4 Identifier Management	7.1: Responsibility for Assets 11.4: Network Access Control 11.5: Operating System Access Control 11.6: Application and Information Access Control	1 - Inventory of Authorized and Unauthorized Devices 2 - Inventory of Authorized and Unauthorized Software 4 - Continuous Vulnerability Assessment and Remediation 13 - Boundary Defense 19 - Secure Network Engineering	BAI09: Manage Assets	6: Develop and maintain secure systems and applications

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
enforce software restriction policies relating to what software is allowed to run in the corporate environment	Protect Detect	Access Control Protective Technology Security Continuous Monitoring	PR.AC-1: Identities and credentials are managed for authorized devices and users AND SOFTWARE  PR.PT-1: Audit/ log records are determined, documented, implemented, and reviewed in accordance with policy  DE.CM-7: Monitoring for unauthorized personnel, connections, devices and software is performed	AC-16 Security Attributes MP-2 Media Access	10.10: Monitoring  11.6: Application and Information Access Control	2 - Inventory of Authorized and Unauthorized Software	DSS02: Manage Service Requests and Incidents	10: Track and monitor all access to network resources and cardholder data
record and track the prescribed attributes of assets	Detect	Security Continuous Monitoring	DE.CM-7: Monitoring for unauthorized personnel, connections, devices and software is performed	CA-7 Continuous Monitoring SI-4 Information System Monitoring	10.10: Monitoring	MEA01: Monitor, Evaluate and Assess Performance and Conformance		10: Track and monitor all access to network resources and cardholder data

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
audit and monitor changes in the asset’s state and connection	Detect Protect	Security Continuous Monitoring Protective Technology	DE.CM-7: Monitoring for unauthorized personnel, connections, devices and software is performed  PR.PT-1: Audit/ log records are determined, documented, implemented, and reviewed in accordance with policy	CA-7 Continuous Monitoring  SI-4 Information System Monitoring	10.10: Monitoring	14 - Maintenance, Monitoring and Analysis of Audit Logs  18 - Incident Response and Management	DSS01: Manage Operations	10: Track and monitor all access to network resources and cardholder data
integrate with log analysis tools to collect and store audited information	Protect	Protective Technology	PR.PT-1: Audit/ log records are determined, documented, implemented, and reviewed in accordance with policy	IR-5 Incident Monitoring IR-6 Incident Reporting	13: Information Security Incident Management	14 - Maintenance, Monitoring and Analysis of Audit Logs  18 - Incident Response and Management		6: Develop and maintain secure systems and applications  10: Track and monitor all access to network resources and cardholder data

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
utilizes secure communications between all components	Protect	Protective Technology Data Security	PR.PT-4: Communications and control networks are protected PR.DS-2: Data-in-transit is protected	SC-8 Transmission Integrity SC-9 Transmission Confidentiality SC-12 Cryptographic Key Establishment and Management SC-13 Use of Cryptography SC-17 Public Key Infrastructure Certificates SC-23 Session Authenticity	12.3: Cryptographic Controls	19 - Secure Network Engineering	DSS05: Manage Security Services	4: Encrypt transmission of cardholder data across open, public networks

**Table 4.1 Mapping the Security Characteristics**

Security Characteristics	CSF Functions <sup>a</sup>	CSF Category <sup>b</sup>	CSF Subcategory <sup>c</sup>	NIST 800-53 rev4 <sup>d</sup>	IEC/ ISO27002 <sup>e</sup>	SANS CAG20 <sup>f</sup>	COBIT <sup>g</sup>	PCI/DSS 3.1 <sup>h</sup>
does not introduce new attack vectors into existing systems	Detect	Security Continuous Monitoring	DE.CM-8: Vulnerability scans are performed	RA-5 Vulnerability Scanning SI-7 Software and Information Integrity SC-3 Security Function Isolation SA-11 Developer Security Testing	12.6: Technical Vulnerability Management	19 - Secure Network Engineering	DSS05: Manage Security Services	6: Develop and maintain secure systems and applications

- a. NIST Framework for Improving Critical Infrastructure Cybersecurity, V1.0. <http://www.nist.gov/cyberframework/>
- b. NIST Framework for Improving Critical Infrastructure Cybersecurity, V1.0. <http://www.nist.gov/cyberframework/>
- c. NIST Framework for Improving Critical Infrastructure Cybersecurity, V1.0. <http://www.nist.gov/cyberframework/>
- d. NIST 800-53 V4. Security and Privacy Controls for Federal Information Systems and Organizations. <http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf>
- e. ISO/IEC 27002:2013. Information Technology - Security techniques - Code of practice for information security controls. [http://www.iso.org/iso/catalogue\\_detail?csnumber=54533](http://www.iso.org/iso/catalogue_detail?csnumber=54533)
- f. SANS Top 20 Critical Security Controls V5. <https://www.sans.org/critical-security-controls/>
- g. COBIT V5. ISACA. <http://www.isaca.org/cobit/pages/default.aspx>
- h. Payment Card Industry Data Security Standard V3.1. [https://www.pcisecuritystandards.org/security\\_standards/documents.php?document=pci\\_dss\\_v3-1#pci\\_dss\\_v2-1](https://www.pcisecuritystandards.org/security_standards/documents.php?document=pci_dss_v3-1#pci_dss_v2-1)

## 132 4.8 Technologies

133 Table 4.2 lists all of the technologies used in this project and provides a mapping between the generic application term, the specific  
 134 product used, and the security control(s) that the product provides. The column **Where in the Architecture** refers to figure 5.4, ITAM  
 135 Build.

**Table 4.2 Products and Technologies Used**

Company	Product	Version	Where in the Architecture	Use	CSF Subcategory	NIST 800-53 rev4 Controls
AlphaPoint Technology	AssetCentral	2.1.1 Build 1157	Physical Asset Mgmt.	Stores and displays information on all physical assets in a data center.	ID.AM-1: Physical devices and systems are inventoried.	CM-8
RedJack	Fathom	1.8.0	DMZ	Collects and analyzes <del>netflow</del> NetFlow and unencrypted banner information from network traffic to detect machines and anomalies.	DE.CM-1: The network is monitored to detect potential cybersecurity events	AC-2, AU-12, CA7, CM-3, SC-5, SC-7, SI-4
N/A (open source)	Bro	2.3.2	DMZ	Monitors the network and reports on all connections. Also analyzes known bad IP addresses and mis-configured network settings.	DE.CM-1: The network is monitored to detect potential cybersecurity events.	AC-2, AU-12, CA7, CM-3, SC-5, SC-7, SI-4
N/A (open source)	Snort	2.9.6.0	DMZ	Examines network traffic and generates alerts based on signatures of known security issues.	DE.CM-1: The network is monitored to detect potential cybersecurity events.	AC-2, AU-12, CA7, CM-3, SC-5, SC-7, SI-4
Belarc	BelManage	8.1.31	Network Security	Collects information on the operating system and installed software.	ID. AM-1: Physical devices and systems are inventoried.	CM-8
					ID.AM-2: Software and applications are inventoried.	CM-8
					DE.CM-7: Monitoring for unauthorized <u>access?</u> .	AU-12, CA-7, CM-2, CM-3, CM-8, PE-3, PE-6, PE-20, SI-4
Belarc	BelManage Analytics	N/A	Network Security	Provides query capability and automated analytics for BelManage data.	DE.CM-7: Monitoring for unauthorized <u>access?</u> .	AU-12, CA-7, CM-3, CM-8, PE-3, PE-6, PE-20, SI-4
PuppetLabs	Puppet	8.3	IT Systems	Provides configuration management, enforcement and validation.	RS:MI-2: Incidents are mitigated.	IR-4



**Table 4.2 Products and Technologies Used (Continued)**

Company	Product	Version	Where in the Architecture	Use	CSF Subcategory	NIST 800-53 rev4 Controls
N/A (open source)	OpenVAS	4.0.1	Network Security	Scans machines for known vulnerabilities.	ID.AM-2: Software and applications are inventoried.	CM-8
					DE.CM-8: Vulnerability scans are performed.	RA-5
					ID.RA-1: Asset vulnerabilities are identified and documented.	CA-2, CA-7, CA-8, RA-3, RA-5, SA-5, SA-11, SI-2, SI-4, SI-5
Splunk	Splunk Enterprise	6.2	ITAM	Collects, stores and analyzes the IT asset data.	ID.RA-2: Threat and vulnerability information is received from information sharing forums and sources.	PM-15, PM-16, SI-5
					ID.AM-1: Physical devices and systems are inventoried.	CM-8
					ID.AM-2: Software and applications are inventoried.	CM-8
Microsoft	WSUS	6.3.9600.17477	DMZ	Provides patches and updates to Microsoft Windows machines.	DE.AE-3: Event data are aggregated and correlated from multiple sources and sensors.	AU-6, CA-7, IR-4, IR-5, IR-8, SI-4
					RS:MI-2: Incidents are mitigated.	IR-4
					RS:MI-2: Incidents are mitigated.	IR-4
Ubuntu	Apt-Cache	Apt 1.0.1ubuntu2	DMZ	Provides patches and updates to Ubuntu Linux machines.	RS:MI-2: Incidents are mitigated.	IR-4
CA Technologies	ITAM		Physical Asset Mgmt.	Provides physical asset management.	ID.AM-1: Physical devices and systems are inventoried.	CM-8

**Table 4.2 Products and Technologies Used (Continued)**

Company	Product	Version	Where in the Architecture	Use	CSF Subcategory	NIST 800-53 rev4 Controls
Tyco	iStar Edge		Physical Security	Provides physical access management.	R.AC-1:Identities and credentials are managed for authorized devices and users.  PR.AC-2:Physical access to assets is managed and protected.	AC-2, IA Family  PE-2, PE-3, PE-4, PE-5, PE-6, PE-9
N/A (open source)	OpenSwan	U2.6.38	DMZ	Provides secure access and transport to the off-site mainframe computer.	PR.DS-2: Data-in-transit is protected.	SC-3
N/A (open source)	pfSense	2.2.2	All (6 instances)	Provides routing and network segregation between all network segments.	PR.AC-3: Remote access is managed.  PR.AC-5: Network integrity is protected, incorporating network segregation.	AC-4, SC-7
Microsoft	Server 2012R2 Certificate Authority	Server2012R2	IT Systems	Provide certificates and PKI management.	PR.AC-1: Identities and credentials are managed.	AC-2, IA Family.

# 5 Architecture

1		
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3	5.2	Reference Architecture Relationship..... 36
4	5.3	Building an Instance of the Reference Architecture ..... 37
5		

## 5.1 Reference Architecture Description

ITAM is the set of policies and procedures an organization uses to track, audit, and monitor the state of its IT assets, and maintain system configurations. These assets include "... computing device, information technology (IT) system, IT network, IT circuit, software (both an installed instance and a physical instance), virtual computing platform (common in cloud and virtualized computing), and related hardware (e.g., locks, cabinets, keyboards)<sup>1</sup>." The cybersecurity value of ITAM is derived from some key aspects of the Risk Management Framework<sup>2</sup> and the NIST Framework for Improving Critical Infrastructure Cybersecurity<sup>3</sup>, including:

- selection and application of baseline security controls
- continuous monitoring and reporting of asset status to a data store
- implementation of anomaly detection mechanisms. Examples include deviations from normal network traffic or deviations from established configuration baselines
- provision of context to detected anomalies and cybersecurity events within the reporting and analytic engine

Implementing the first two elements above addresses the Select, Implement, and Monitor aspects of the Risk Management Framework by providing a method to select a baseline, implement it (both configuration and enforcement), and detect changes in the baseline. ITAM addresses the Identify, Detect, Protect and Respond aspects of the NIST Framework for Improving Critical Infrastructure Cybersecurity<sup>4</sup> by implementing the last two bullets, which identify anomalies and adding context to events, aiding in remediation.

The ITAM processes supported by our reference architecture include: data collection, data storage, configuration management, policy enforcement, data analytics, and reporting/ visualization. The reference architecture is depicted in [figure 5.1](#).

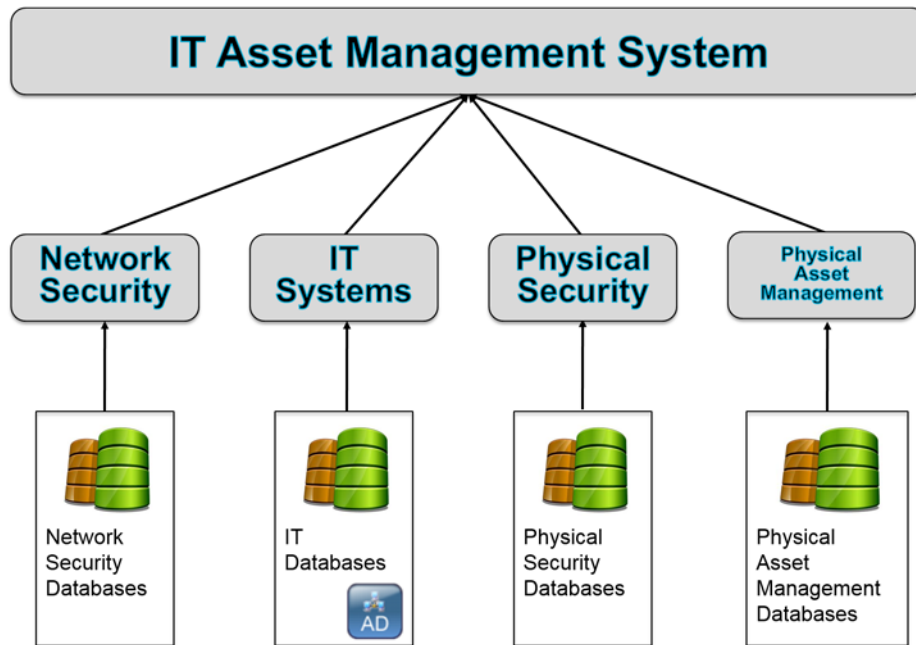
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1. NIST IR 7693 Specification for Asset Identification v1.1

2. NIST Risk Management Framework (RMF): <http://csrc.nist.gov/groups/SMA/fisma/framework.html>

3. NIST Framework for Improving Critical Infrastructure Cybersecurity: <http://www.nist.gov/cyberframework/upload/cybersecurity-framework-021214.pdf>

4. NIST Framework for Improving Critical Infrastructure Cybersecurity: <http://www.nist.gov/cyberframework/upload/cybersecurity-framework-021214.pdf>

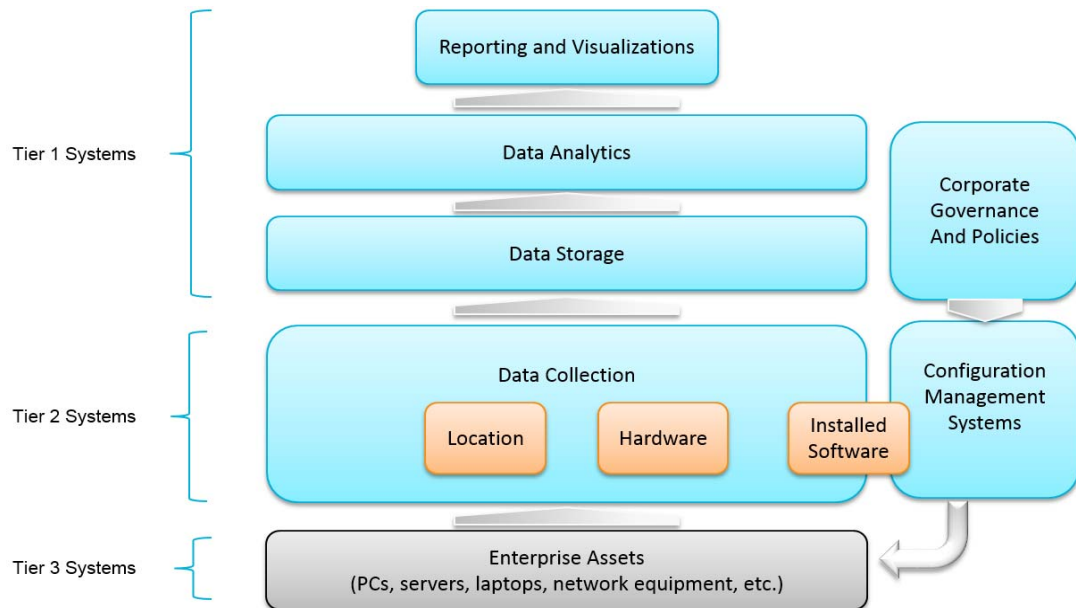


29  
30 **Figure 5.1 Reference Architecture**

31 **Figure 5.2, ITAM Reference Functionality**, shows how data flows through the ITAM system.  
 32 Tier 3 is composed of enterprise assets themselves. Tier 3 is made up of all of the assets being  
 33 tracked including hardware, software, and virtual machines. Tier 2 includes the sensors and  
 34 independent systems that feed data into the enterprise ITAM system. Tier 2 systems include  
 35 passive and active collection sensor and agents. Tier 1 is the enterprise ITAM system that  
 36 provides the aggregation of data from all Tier 2 systems into business and security intelligence.  
 37 The following capabilities are demonstrated in the ITAM build (see **figure 5.2, ITAM Reference**  
 38 **Functionality**):

- 39 ■ **Data Collection** is the capability to enumerate and report the unique software and system  
 40 configuration of each asset and transfer that information to the Data Storage capability.
- 41 ■ **Data Storage** is the capability that receives data from the data collection capability, re-  
 42 formats as needed, and stores the data in a storage system.
- 43 ■ **Data Analytics** is the capability that performs analytic functions on the data made available  
 44 by the Data Storage capability.
- 45 ■ **Corporate Governance and Policies** are all of the rules that are placed upon the IT assets.  
 46 These rules can include the network/web sites that employees can visit, what software can  
 47 be installed, and what network services are allowed
- 48 ■ **Configuration Management Systems** enforce Corporate Governance and Policies through  
 49 actions such as applying software patches and updates, removing blacklisted software, and  
 50 automatically updating configurations.
- 51 ■ **Reporting and Visualizations** is the capability that generates human-readable graphical and  
 52 numerical tables of information provided by the Data Analytics capability.

53 All six are “run-time” capabilities in that they happen periodically in an automated fashion.  
 54 After performing the initial configuration and manually entering the asset into the asset  
 55 database, most tasks are performed automatically. Analysts are required to perform a periodic  
 56 review of the reports stored in the analytic engine to determine anomalies and perform  
 57 remediation.

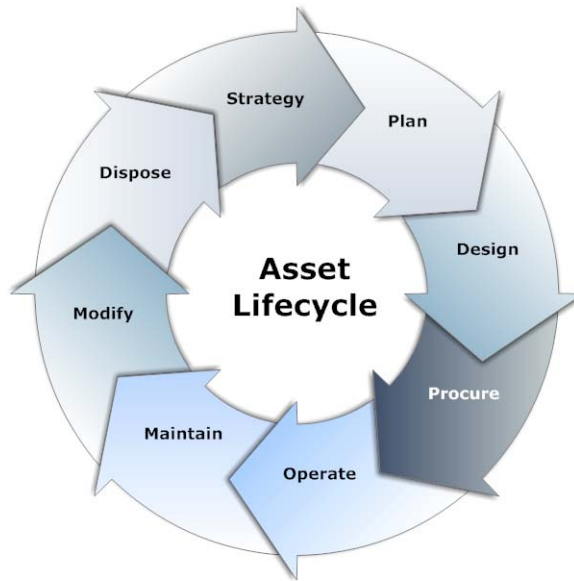


58

59 **Figure 5.2 ITAM Reference Functionality**

59

60 The architecture for this project correlates asset management information with security and  
 61 event management information in order to provide context to events, intrusions, attacks, and  
 62 anomalies on the network. It consists of processes and technologies that enable the  
 63 enrollment, tracking and monitoring of assets throughout the enterprise. Furthermore, it  
 64 provides processes to detect unenrolled or untrusted assets within the enterprise.



65

66 **Figure 5.3 Typical Asset Lifecycle<sup>1</sup>**

67 In a typical lifecycle, an asset goes through the enrollment, operation, and end-of-life phases.  
 68 Enrollment usually involves manual activities performed by IT staff such as assigning and  
 69 tagging the asset with a serial number and barcode, loading a baseline IT image, assigning the  
 70 asset to an owner, and, finally, recording the serial number as well as other attributes into a  
 71 database. The attributes could include primary location, hardware model, baseline IT image,  
 72 and owner.

73 As the asset goes through the operations phase, changes can occur. Such changes could include  
 74 introduction of new or unauthorized software, the removal of certain critical software, or the  
 75 removal of the physical asset itself from the enterprise. These changes need to be tracked and  
 76 recorded. As a consequence, asset monitoring, anomaly detection, reporting, and policy  
 77 enforcement are the primary activities in this phase.

78 The assets within the enterprise are monitored using installed agents that reside on the asset,  
 79 as well as network-based monitoring systems that scan and capture network traffic. These  
 80 monitoring systems collect data from and about the assets, and send periodic reports to the  
 81 analytics engine. Each monitoring system sends reports with slightly differing emphasis on  
 82 aspects of these enterprise assets. Reports are collected regarding installed and licensed  
 83 software, vulnerabilities, anomalous traffic (i.e. traffic to new sites or drastic changes in the  
 84 volume of traffic), and policy enforcement status.

85 As an asset reaches the end of its operational life, it goes through activities within the end-of-  
 86 life phase that include returning the asset to IT support for data removal, and removing the  
 87 serial number from the registration database and other associated databases. Finally, the asset  
 88 is prepared for physical removal from the enterprise facility.

<sup>1</sup><http://wc1.smartdraw.com/cmsstorage/exampleimages/44b341d1-a502-465f-854a-4e68b8e4bf75.png>

89 The ITAM workflow calls for enrolling the asset once it is received, assigning and recording a  
90 serial number, loading a base IT image with a list of approved software, including configuration  
91 management agents and asset management agents that start monitoring, and reporting on the  
92 assets once enrolled. These software agents collect information previously defined by  
93 administrators.

94 A security and configuration baseline is enforced by configuration management agents,  
95 installed software is captured by software asset management agents, and both categories of  
96 agents forward reports to their respective servers, which serve as data storage facilities. The  
97 servers format the data in a suitable form prior to forwarding these periodic reports to the  
98 analytics engine. With the visualization capability of the analytics engine, an analyst or  
99 manager can retrieve a visual report with the appropriate level of specificity. Changes that  
100 affect the asset attributes are captured in these reports sent to the analytics engine. While the  
101 ITAM system does provide some automated anomaly detection, analysts should periodically  
102 review reports to determine anomalies or relevant changes that may have occurred. Views with  
103 specific information about the assets are defined within the analytics engine, enabling analysts  
104 to detect policy violations or anomalies that could warrant further investigation. Alerts from  
105 other security information sources are also triggers for more detailed investigations by an  
106 analyst.

107 Detection of policy violations triggers policy enforcement or remediation if a relevant and  
108 negative alert was detected. These alerts could include, but are not limited to, newly discovered  
109 vulnerabilities or the discovery of blacklisted software. The configuration management facility  
110 would be used to enforce the removal of such software or the patching of the vulnerability on  
111 any number of hosts, bringing the enterprise into a more compliant state as defined by  
112 enterprise policy.

## 113 5.2 Reference Architecture Relationship

114 This ITAM project presents the following four scenarios:

- 115 1. A new laptop is purchased: the ITAM system will track the laptop from arrival, through  
116 configuration, and to its new owner. The laptop will continue to be monitored during its  
117 lifecycle.
- 118 2. A server is transferred from one department to another. The ITAM system is used to update  
119 the physical asset system and the server itself.
- 120 3. A virtual machine migrates between physical servers. The ITAM system is notified of all  
121 migrations and can alert if a policy violation occurs.
- 122 4. Incident detection, response, and prevention: If a sensor, such as an intrusion detection  
123 system, triggers an alert, the ITAM system should provide additional information on that  
124 asset such as configuration, location, and ownership, if possible.

125 The ITAM system ties into the existing silos of physical assets, physical security, IT systems, and  
126 network security to provide a comprehensive view of all assets in the enterprise. This view  
127 allows for queries, dashboards, and process automation supporting the four scenarios listed  
128 above.



129 **Scenario 1:** New devices are entered into the existing physical asset database, which sends a  
130 message to the ITAM system, which triggers other messages to be sent (IT support for  
131 configuration). When IT support configures the new laptop that triggers numerous ITAM  
132 database updates related to hardware and software configuration. When the configured laptop  
133 is delivered to the new owner, a database update is performed recording the new ownership  
134 information.

135 **Scenario 2:** Scenario 2 is very similar to the first scenario. A machine changes ownership and is  
136 reconfigured. In this scenario, a work order is entered to transfer a server from one department  
137 to another. This work order finds its way into the ITAM system, which triggers a series of events,  
138 messages, and reconfigurations that result in updates to the databases and changes to the  
139 software on the server.

140 **Scenario 3:** The ITAM system receives a message for each virtual machine migration. These  
141 messages are checked against policy to determine if the move is valid or not. If the move is not  
142 valid, an alert is raised. These migration messages can also be used to improve performance by  
143 detecting machine or configuration issues that cause excess migrations.

144 **Scenario 4:** The ITAM system adds context to security alerts from various sensors that are  
145 already on the network. For example, if an intrusion detection system triggers an alert such as  
146 “Illegal connection 192.168.1.102 -> 8.8.8.8 TCP”, the ITAM system provides all of the system  
147 information pertaining to 192.168.1.102 (the internal machine) such as machine name,  
148 operating system, configuration, location and owner. This saves the analyst valuable time and  
149 allows for more detailed event filters.

## 150 5.3 Building an Instance of the Reference Architecture

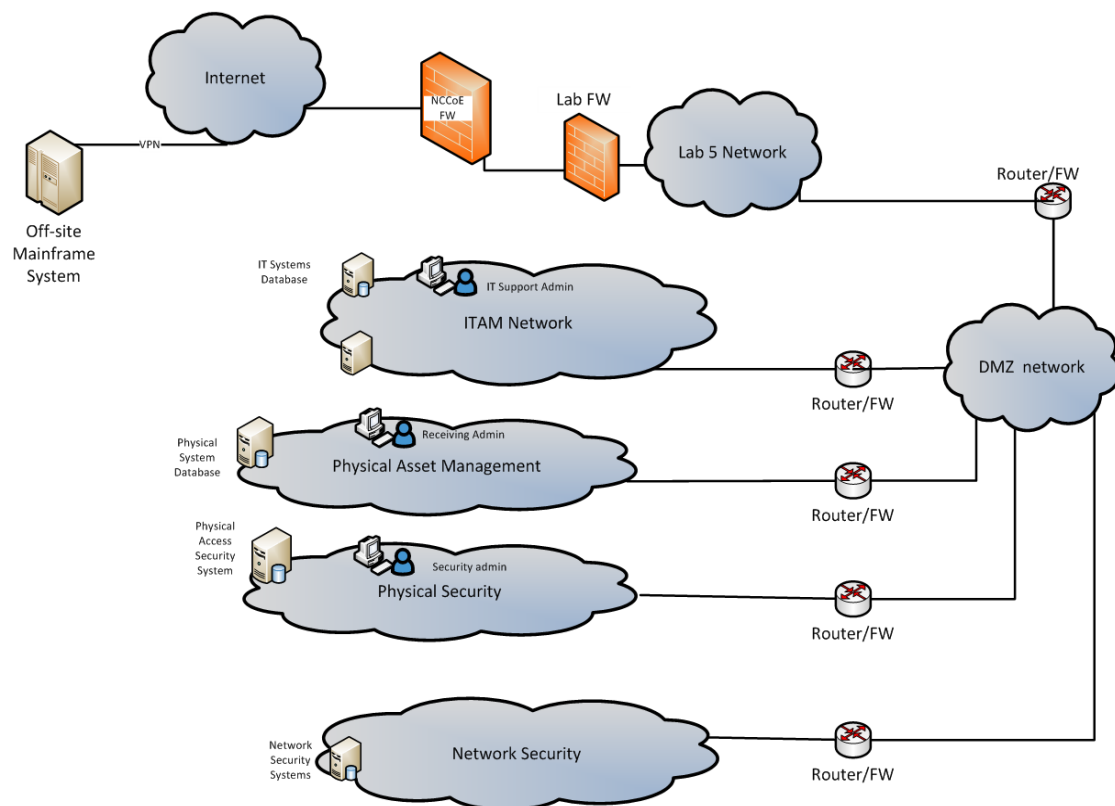
151 We build one instance of the centralized ITAM capability. This build consists of a DMZ along  
152 with network security, IT systems, physical security, and physical asset management silos to  
153 implement the workflow and the ITAM system. Each silo has its own router, private subnet, and  
154 functionality. Each silo supports aspects of the Risk Management Framework and the NIST  
155 Framework for Improving Critical Infrastructure Cybersecurity. Each silo performs data  
156 collection, data storage, data analytics, and visualization specific to each silo’s purpose.  
157 Additionally, each silo integrates into the ITAM system to provide comprehensive reporting and  
158 visualizations for the end user.

159 A detailed list of the components used in the ITAM build can be found in [table 4.2](#).

### 160 5.3.1 ITAM Build

161 The NCCoE constructed the ITAM build infrastructure using off-the-shelf hardware and  
162 software, along with open source tools. While the reference solution was demonstrated with a  
163 certain suite of products, the guide does not endorse these products in particular. Instead, it  
164 presents the characteristics and capabilities that an organization's security experts can use to  
165 identify similar standards-based products that can be integrated quickly and cost-effectively  
166 with existing tools and infrastructure.

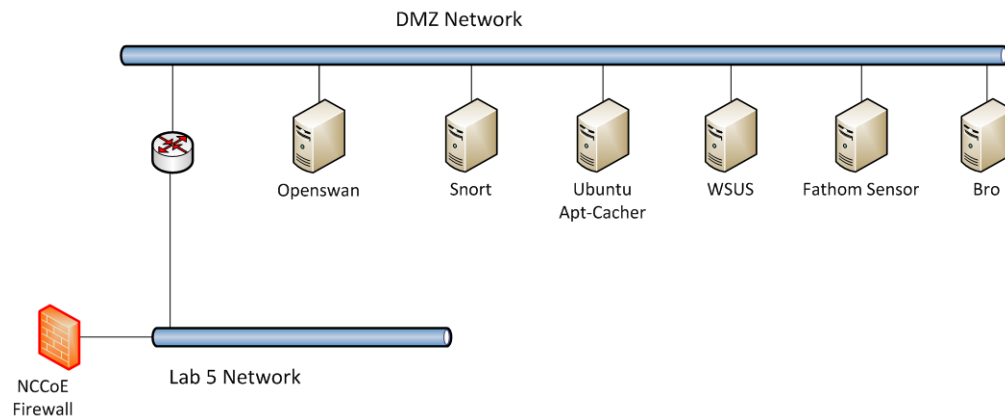
167 The build architecture consists of multiple networks implemented to mirror the infrastructure  
 168 of a typical financial services sector corporation. Figure 5.4 illustrates the ITAM build. The build  
 169 is made up of five subnets that are all connected to a sixth DMZ network. The DMZ network  
 170 (Figure 5.5) provides technologies that monitor and detect cybersecurity events, conduct patch  
 171 management, and provide secure access to the mainframe computer. The Physical Asset  
 172 Management Network (Figure 5.9) provides management of data such as system barcodes,  
 173 room numbers, and ownership information. Network Security (Figure 5.6) provides  
 174 vulnerability scanning along with a database for collection and analysis of data from hardware  
 175 and software components. The IT Systems Network (Figure 5.7) includes systems that provide  
 176 typical IT services such as email, public key infrastructure (PKI), and directory services. Physical  
 177 Security (Figure 5.8) consists of management consoles for devices that operate and manage  
 178 physical security. Such devices consist of badge readers and cameras. Firewalls between each  
 179 subnet are configured to limit access to and from the networks, blocking all traffic except  
 180 required inter-network communications.



181

182 **Figure 5.4 ITAM Build**

183 **Demilitarized Zone** - The DMZ in Figure 5.5 provides a protected neutral network space that  
 184 the other networks of the production network can use to route traffic to and from the Internet  
 185 or each other. There is an external and internal facing subnet. The DMZ also provides  
 186 technologies that monitor and detect cybersecurity events, conduct patch management, and  
 187 issue secure access to the mainframe computer. DMZ devices consist of Router0, Apt-Cacher,  
 188 Bro, Fathom Sensor, Snort, and WSUS, as shown in the figure below. Due to network  
 189 configuration constraints, the network sensors were placed inside of the DMZ instead of in the  
 190 Network Security subnet (Figure 5.6).



191

192

**Figure 5.5 DMZ Network**

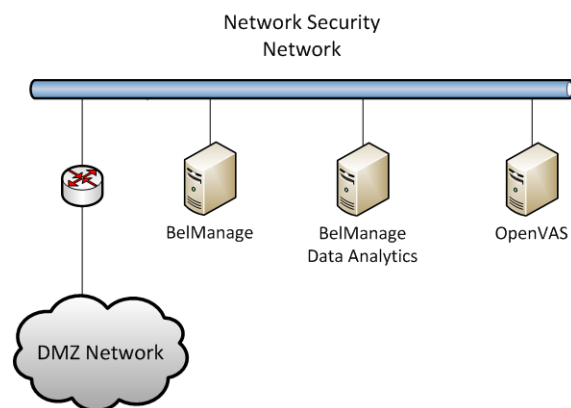
193

**Network Security** - The network security architecture is represented in [Figure 5.6](#), following. Network Security is where all devices pertaining to network security reside. These types of devices include IDS/IPS, SIEM/logging systems and vulnerability scanners. Devices within this network consist of Router2, OpenVAS, BelManage, and BelManage Data Analytics servers.

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197

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**Figure 5.6 Network Security Network**

199

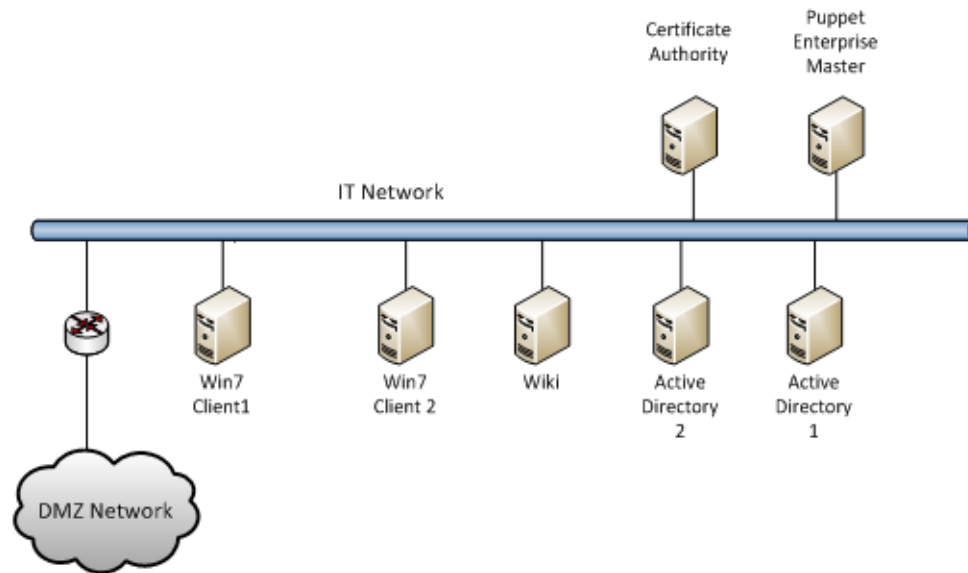
**IT Systems** - The IT Systems network, shown in [Figure 5.7](#), is dedicated to traditional IT systems. Devices included in this particular subnet are Router1, two Windows 7 clients, a wiki, certificate authority, email server, and two Windows 2012 Active Directory servers. One serves as primary while the other serves as a backup. Active Directory1 and Active Directory2 also provide domain name service (DNS).

200

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202

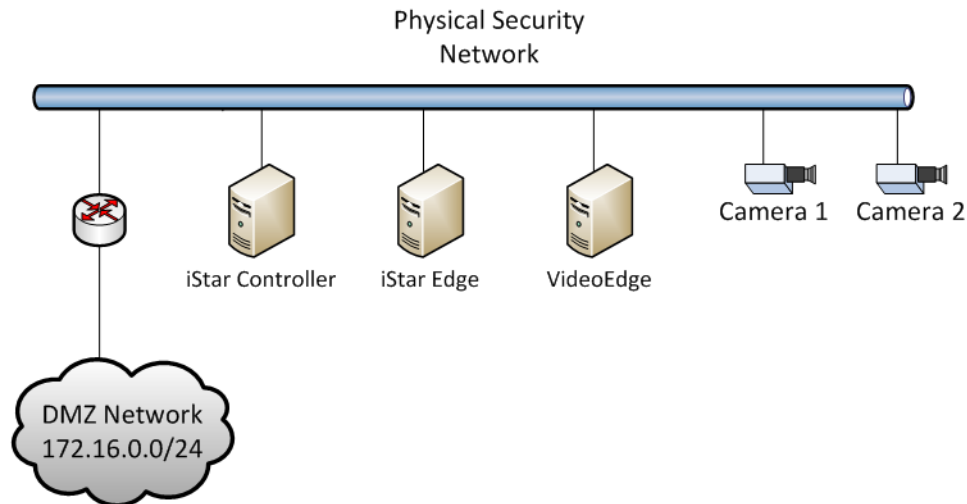
203



204

205 **Figure 5.7 IT Systems Network**

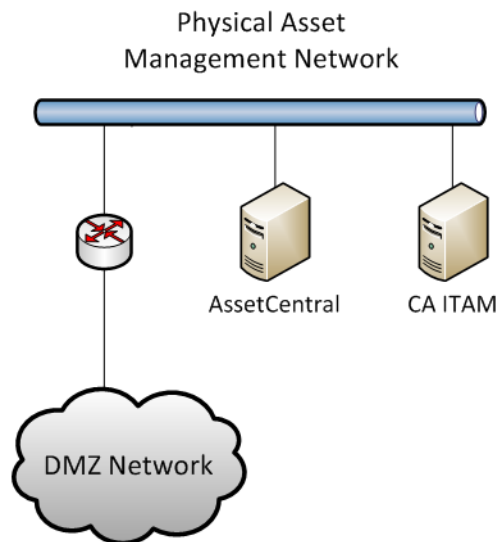
206 **Physical Security** - The Physical Security Network (Figure 5.8) houses the devices that operate  
207 and manage physical security such as badge reader and cameras, along with their management  
208 consoles. Video Edge is a digital video recorder that records video from Camera 1 and  
209 Camera 2. Both cameras are in the server room recording anyone who physically accesses the  
210 ITAM hardware. iStar Edge is an embedded system that contains two radio frequency  
211 identification (RFID) badge readers. The iStar Controller communicates with both the Video  
212 Edge and iStar Edge systems. The iStar Controller determines if a valid badge was presented and  
213 if that badge should grant access into the server room.



214

215 **Figure 5.8 Physical Security Network**

216 Physical Asset Management - The Physical Asset Management Network (Figure 5.9) contains  
 217 devices that provide and collect information regarding physical assets. The devices include  
 218 Router 3 and the data center asset management system, or AssetCentral. AssetCentral is a  
 219 physical asset inventory and analysis system from AlphaPoint Technology. This tool allows users  
 220 to view assets from multiple viewpoints including: building, room, floor, rack, project,  
 221 collection, or owner. CA ITAM is running IT Asset Management software from CA Technologies.  
 222 The CA ITAM system records both new IT assets and ownership changes to IT assets.

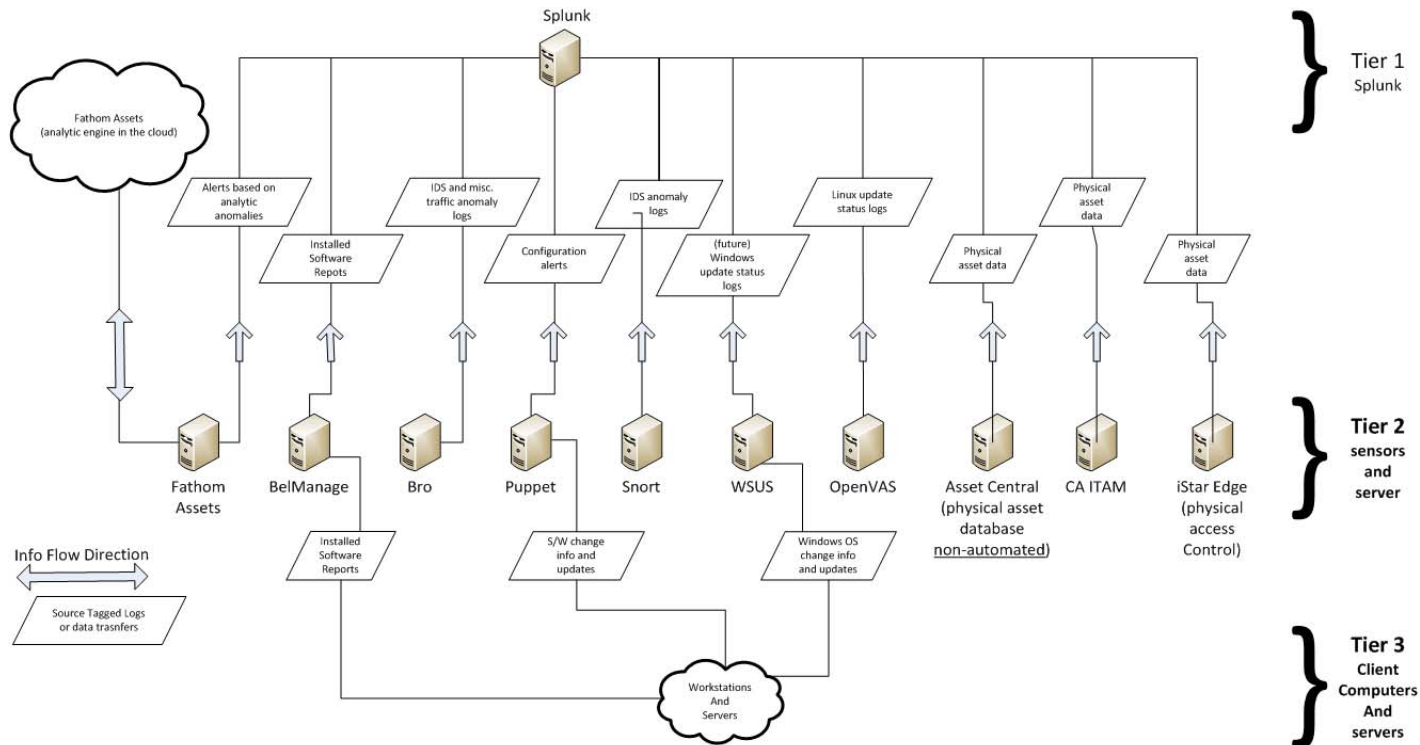


223

224 **Figure 5.9 Physical Asset Management**

225 **5.3.2 Access Authorization Information Flow and Control Points**

226 The ITAM solution deploys sensors throughout the enterprise that collect data from, or about, enterprise assets. The sensors can be  
 227 installed on the assets, collecting data about installed software, or they can be remote devices that monitor and scan the network,  
 228 reporting on vulnerabilities, anomalies, and intrusions. These sensors forward collected data to middle tier services that are responsible  
 229 for storing, formatting, filtering, and forwarding the data to the analysis engine. Further analysis of the data is performed on the analysis engine  
 230 and involves running select queries to retrieve defined data using a visualization tool also installed on the analysis engine.



231

232 **Figure 5.10 ITAM Data Flow**

### 233 5.3.3 Tier 1 Systems

#### 234 **Splunk Enterprise**

235 Splunk Enterprise serves as an operational intelligence platform that collects, stores, and  
236 analyzes the data from IT assets. The Splunk Enterprise services are responsible for the  
237 indexing, analysis, and visualization of the data. All filtered and formatted data make their way,  
238 eventually, to the Splunk Enterprise system. Additional information can be found at [http://](http://www.splunk.com/)  
239 [www.splunk.com/](http://www.splunk.com/).

### 240 5.3.4 Tier 2 Systems

241 Tier 2 is composed of systems that each perform a unique task. Each Tier 2 system is fully  
242 capable of collecting, storing, and analyzing data pertaining to its unique task. The middle tier  
243 systems filter relevant and desired data from the raw data collected, and forward this data to  
244 the analysis engine and visualization tool for further analysis.

#### 245 **Fathom**

246 Fathom Sensor passively monitors, captures, and optionally forwards summarized network  
247 traffic to its service running on the Amazon AWScloud. The Fathom service periodically  
248 compares the network traffic in the ITAM build to an aggregate of the network traffic from  
249 several other organizations to determine if abnormal activity has occurred. If abnormal activity  
250 is detected, Fathom Sensor will capture the type of activity and forward this information to  
251 Splunk Enterprise for further analysis. Additional information can be found at [http://](http://www.redjack.com/)  
252 [www.redjack.com/](http://www.redjack.com/).

#### 253 **Bro**

254 Bro monitors all network traffic in the enterprise and is configured to detect policy violations.  
255 Alerts and messages from Bro are forwarded to the analysis engine and visualization tool.  
256 Network traffic information such as connections, DNS traffic, HTTP traffic, and SSL certificates  
257 are also forwarded to Splunk Enterprise. Bro messages are, by default, ASCII and tab delimited.  
258 Additional information can be found at <https://www.bro.org/>.

#### 259 **Snort**

260 Snort is used to detect intrusions by capturing network traffic and comparing it to known  
261 signatures. If intrusions are detected, Snort creates alerts and forwards such alerts via CSV  
262 format to Splunk Enterprise. Information such as source and destination IP and port addresses,  
263 as well as type of signature match, are included in the updates. Additional information can be  
264 found at <https://www.snort.org/>.

#### 265 **OpenVAS**

266 OpenVAS periodically scans enterprise hosts for known vulnerabilities, generates reports based  
267 on its findings, and forwards these reports in XML format to Splunk Enterprise. These reports  
268 indicate vulnerable systems, applications, and services. Additional information can be found at  
269 <http://www.openvas.org/>.

**270 WSUS**

271 Enterprise hosts with Microsoft Windows operating systems are configured to receive updates  
272 from WSUS. WSUS detects whether or not the hosts have the latest updates and sends updates  
273 to those hosts that are not in compliance. WSUS forwards reports in CSV format with details of  
274 compliance to Splunk Enterprise. Additional information can be found at [https://  
275 technet.microsoft.com/en-us/windowsserver/bb332157.aspx](https://technet.microsoft.com/en-us/windowsserver/bb332157.aspx).

**276 BelManage**

277 The BelManage server has agents installed on all clients. BelManage agents collect information  
278 about the installed software and forward it to the BelManage server, which stores it in its local  
279 database. The CSV-formatted reports are retrieved from the database and are sent periodically  
280 to Splunk Enterprise. Additional information can be found at [http://www.belarc.com/  
281 belmanage.html](http://www.belarc.com/belmanage.html).

**282 BelManage Data Analytics**

283 BelManage Data Analytics (BDA) provides an easy way for users to access, query, and create  
284 reports based on the data collected and analyzed by BelManage. The ITAM project gathers data  
285 from some of the queries for incorporation in overall dashboards. Additional information can  
286 be found at [http://www.belarc.com/data\\_analytics.html](http://www.belarc.com/data_analytics.html). The information in BelManage is  
287 gathered directly by Splunk Enterprise using an SQL database query.

**288 Puppet Enterprise**

289 Puppet Enterprise enforces a configuration baseline on servers and workstations. Puppet  
290 agents run periodically, downloading a compiled configuration catalog from the Master and  
291 executing it on the hosts. A successful Puppet Enterprise agent run can make configuration  
292 changes, install new software or remove unwanted software, and sends success status updates  
293 to the Master. The ITAM solution configured the Puppet Enterprise Master to forward an absent  
294 or present status for enterprise hosts indicating whether or not they have had successful agent  
295 runs. These status messages are forwarded to Splunk Enterprise using the syslog facility.  
296 Additional information can be found at <https://puppetlabs.com/puppet/puppet-enterprise>.

**297 OpenSwan**

298 OpenSwan is an open-source virtual private network (VPN) for Linux operating systems.  
299 OpenSwan is used in the ITAM project for connecting the lab at the NCCoE to a facility in  
300 Nevada run by Vanguard Integrity Professionals, where the mainframe computer is located.  
301 OpenSwan is configured to provide a site-to-site VPN using IPsec. Additional information can be  
302 found at <https://www.openswan.org/>.

**303 Ubuntu Apt-Cacher0**

304 Ubuntu Apt-Cacher0 is an Ubuntu Linux server that provides package caching services for the  
305 ITAM lab. All of the Ubuntu devices on the network receive their software, patches, and  
306 updates from Ubuntu Apt-Cacher0. This centralizes update management, reduces the number  
307 of machines accessing the Internet, and reduces Internet bandwidth usage. Additional  
308 information can be found at <https://help.ubuntu.com/community/Apt-Cacher-Server>.



### 309 **AssetCentral**

310 AssetCentral is a Web-based IT asset management and data center management solution.  
311 Information on all physical IT assets used in the ITAM project was entered into AssetCentral.  
312 This information includes make, model, serial number, barcode, room, rack, and owner. This  
313 information is then used to provide a complete picture of the state of an asset. Splunk  
314 Enterprise utilizes a direct SQL database query to gather information from AssetCentral.  
315 Additional information can be found at [http://www.alphapointtechnology.com/asset-](http://www.alphapointtechnology.com/asset-management-software/asset-central-core/)  
316 [management-software/asset-central-core/](http://www.alphapointtechnology.com/asset-management-software/asset-central-core/).

### 317 **CA Technologies IT Asset Manager**

318 CA Technologies IT Asset Manager provides asset management lifecycle. This project uses CA  
319 ITAM for asset-based workflow management. For example, when a new asset arrives, it is  
320 entered into the CA ITAM product, which then tracks its provisioning and delivery. Splunk  
321 Enterprise utilizes a direct SQL database query to gather information from CA ITAM. Additional  
322 information can be found at <http://www.ca.com/us/intellicenter/ca-it-asset-manager.aspx>.

### 323 **iStar/C-Cure Controller**

324 The C-Cure controller from Software House provides badging and access controls for the  
325 physical security silo of this project. The C-Cure controller is part of the physical security system  
326 from Tyco Security Products that we used. The C-Cure Controller interacts with the iStar Edge  
327 and VideoEdge systems to provide an overall physical security solution. Access request  
328 information is exported from the iStar/C-Cure controller in .CSV format for use by Splunk  
329 Enterprise. Additional information can be found at [http://www.swhouse.com/products/](http://www.swhouse.com/products/CCURE_ID_Badging.aspx)  
330 [CCURE\\_ID\\_Badging.aspx](http://www.swhouse.com/products/CCURE_ID_Badging.aspx).

### 331 **VideoEdge**

332 VideoEdge is a network video recorder that records video from Camera 1 and Camera 2.  
333 VideoEdge is part of the physical security system from Tyco Security Products used in this  
334 project. Additional information can be found at [http://www.americandynamics.net/products/](http://www.americandynamics.net/products/videoedge_nvr.aspx)  
335 [videoedge\\_nvr.aspx](http://www.americandynamics.net/products/videoedge_nvr.aspx).

## 336 **5.3.5 Tier 3 Systems**

337 The status of all enterprise assets such as client machines, servers, and network devices are  
338 monitored from the start of their lifecycle until disposal by the systems in the Tier 2. Device  
339 location, owner, installed software catalog, current security vulnerabilities, and abnormal traffic  
340 activity are captured to allow for better visibility by administrators.

### 341 **AD1**

342 Active Directory (AD) is a special-purpose database that holds objects and attributes related to  
343 users, contacts, groups, computers, and organizational units. AD is used for authentication,  
344 authorization, and auditing of users and computers. Additionally, AD1 provides domain name  
345 services (DNS) to the entire lab network. The AD machines used for this project are run on top  
346 of the Microsoft Windows 2012R2 64-bit operating system. Additional information can be  
347 found at <https://msdn.microsoft.com/en-us/library/Aa746492%28v=VS.85%29.aspx>.

348

**AD2**

349

AD2 is a replica of AD1. The two systems provide redundancy and fault tolerance.

350

**Certificate Authority**

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The Certificate Authority (CA) provides PKI capabilities to the lab. The CA creates and signs X.509 cryptographic certificates for users and computers that are used throughout the lab. This project utilizes the CA that is part of the Microsoft Windows 2012R2 64-bit operating system. Additional information can be found at <https://technet.microsoft.com/en-us/library/cc770357%28v=ws.10%29.aspx>.

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**Email Server**

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The ITAM project utilizes the Postfix email server. The email server is used to collect messages, both status and informational, as well as for workflow management. Additional information can be found at <http://www.postfix.org/>.

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**Ubuntu-Client1**

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Ubuntu-Client1 functions as a representative Linux client for the ITAM lab. Ubuntu-Client1 is configured as a full desktop load with a graphical operating system. The purpose of Ubuntu-Client1 is to show that the various ITAM functions, such as hardware and software monitoring, function correctly on a Linux system. Additional information can be found at <http://www.ubuntu.com/>.

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**Win7-Client1**

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Win7-Client1 functions as a representative Microsoft Windows client for the ITAM lab. Win7-Client1 includes the full Microsoft Windows 7 desktop installation along with additional software such as Firefox, Google Chrome, and WinSCP. Win7-Client1 is a member of the lab5.nccoe.gov domain. The purpose of Win7-Client1 is to show that the various ITAM functions, such as hardware and software monitoring, function correctly on a Windows system. Additional information can be found at <http://windows.microsoft.com/en-us/windows/windows-help/#windows=windows-7>.

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**Win7-Client2**

375

Win7-Client2 performs the same functions as Win7-Client1. The purpose of Win7-Client2 is to provide additional data points for the ITAM system.

376

377

**Mainframe**

378

The mainframe computer provided by Vanguard Integrity Professionals and running their security, compliance, and configuration management software provides the ITAM system with information regarding the state of the mainframe. State information includes configuration, usage, and compliance information. The mainframe computer is physically located at Vanguard and accessed via VPN. Additional information can be found at <https://www.go2vanguard.com/>.

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### 383 **iStar Edge**

384 The iStar Edge is a door controller that is accessed over Internet Protocol (IP)-based networks.  
385 iStar controls access to two doors by using its RFID badge readers. The iStar Edge is controlled  
386 via the iStar Controller. The iStar system provides the ITAM system with information on human  
387 assets that are entering sensitive server rooms. The iStar Edge controller is part of the physical  
388 security system from Tyco Security Products used in this project. The iStar Edge is part of the  
389 physical security silo of the ITAM system. Additional information can be found at [http://](http://www.swhouse.com/products/hardware_iSTAR_Edge.aspx)  
390 [www.swhouse.com/products/hardware\\_iSTAR\\_Edge.aspx](http://www.swhouse.com/products/hardware_iSTAR_Edge.aspx).

### 391 **Camera1**

392 Camera1 is an Illustra 600 compact mini-dome IP camera that is part of the physical security silo  
393 of the ITAM system. Camera1 is part of the physical security system from Tyco Security  
394 Products. Camera1 sends its images to the VideoEdge network video recorder. Additional  
395 information can be found at [http://www.americandynamics.net/products/illustra-](http://www.americandynamics.net/products/illustra-minidomes.aspx)  
396 [minidomes.aspx](http://www.americandynamics.net/products/illustra-minidomes.aspx).

### 397 **Camera2**

398 Camera2 is same as Camera1, but is pointed in a different direction to capture different images.

### 399 **Routers/Firewalls**

400 The ITAM lab uses six routers/firewalls to route, segment, and filter traffic inside of the ITAM  
401 network. All of the routers/firewalls are virtual machines running the community version of  
402 pfSense. Each network segment has its own router/firewall and each router/firewall has its own  
403 unique configuration. Alerts and messages are forwarded to the analysis and visualization  
404 system. Additional information can be found at <https://www.pfsense.org>.

# 1 Appendix A Acronyms

2	<b>AD</b>	Active Directory
3	<b>CA</b>	CA Technologies
4	<b>CA</b>	Certificate Authority
5	<b>COTS</b>	Commercial Off-The-Shelf
6	<b>CRADA</b>	Collaborative Research and Development Agreement
7	<b>CSF</b>	NIST Framework for Improving Critical Infrastructure Cybersecurity
8	<b>.csv</b>	Comma-Separated Value
9	<b>DMZ</b>	Demilitarized Zone
10	<b>FS</b>	Financial Sector
11	<b>HR</b>	Human Resources
12	<b>ID</b>	Identity
13	<b>ITAM</b>	Information Technology Asset Management
14	<b>IDS</b>	Intrusion Detection System
15	<b>IP</b>	Internet Protocol
16	<b>NAS</b>	Network Attached Storage
17	<b>NCCoE</b>	National Cybersecurity Center of Excellence
18	<b>NIST</b>	National Institute of Standards and Technology
19	<b>OS</b>	Operating System
20	<b>PKI</b>	Public Key Infrastructure
21	<b>SME</b>	Subject Matter Expert
22	<b>SQL</b>	Structured Query Language
23	<b>SSL</b>	Secure Socket Layer
24	<b>STIG</b>	Security Technical Implementation Guideline
25	<b>TLS</b>	Transport Layer Security
26	<b>VLAN</b>	Virtual Local Area Network
27	<b>VPN</b>	Virtual Private Network